

2818

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/960,125
		Filing Date	September 21, 2001
		First Named Inventor	Jian Li
		Group Art Unit	2818
		Examiner Name	S. Rao
Total Number of Pages in This Submission	10	Attorney Docket Number	42390P11557X

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ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">- Check in the amount of \$180.00 - Return Postcard</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	April 22, 2003

CERTIFICATE OF MAILING/TRANSMISSION			
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Typed or printed name	Annie G. Pearson		
Signature		Date	April 22, 2003

APR 28 2003

PTO/SB/17 (01-03)

Approved for use through 04/30/2003. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL
for FY 2003**

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.**TOTAL AMOUNT OF PAYMENT** (\$) **180.00**

Complete if known

Application Number **097960,123**
 Filing Date **September 21, 2001**
 First Named Inventor **Jian Li**
 Examiner Name **S. Rao**
 Group/Art Unit **2818/2900**
 Attorney Docket No. **42390P11557X**

METHOD OF PAYMENT (check one)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account

Deposit
Account
Number

02-2666

Deposit
Account
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

2. EXTRA CLAIM FEES

Total Claims - 20** = X =
 Independent Claims - 3 = X =
 Multiple Dependent =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple Dependent claim, if not paid	
1204	84	2204	42	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

**or number previously paid, if greater, For Reissues, see below

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1404	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	1809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					(\$) 180.00

SUBMITTED BY

Name (Print/Type) **Gregory D. Caldwell** Registration No. **39,926** Telephone **(503) 684-6200**
 Signature  Date **04/22/03**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application to the USPTO. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.



Docket No.: 42390P11557X

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In Re the Application of:

JIAN LI, ET AL.

Application No.: 09/960,125

Filed: September 21, 2001

For: **STACKED FERROELECTRIC
MEMORY DEVICE AND METHOD OF
MAKING SAME**

Art Group: 2818

Examiner: S. Rao

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Some or all of the references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 09/909,670, filed July 20, 2001) and copies of the references were furnished at that time. Accordingly, per 37 CFR §1.98(d)(1) additional copies of those references are not submitted herewith.

04/23/2003 CNGUYEN 00000052 09960125

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The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

The fee set in the amount of \$180.00 for submission of the Information Disclosure Statement is enclosed herewith. Please charge any additional fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: April 22, 2003




Gregory D. Caldwell, Reg. No. 39,926

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Los Angeles, California 90025
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April 22, 2003


Annie G. Pearson

04-22-03

Date

APR 28 2013

Complete if Known

Application Number	09/960,125
Filing Date	September 21, 2001
First Named Inventor	Jian Li
Art Unit	2818
Examiner Name	S. Rao
Attorney Docket Number	42390P11557X

(use as many sheets as necessary)

Sheet 1 of 3

[illegible][illegible]

Examiner	Date
Signature	Considered

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Complete if Known	
		Application Number	09/960,125
		Filing Date	September 21, 2001
		First Named Inventor	Jian Li
		Art Unit	2818
		Examiner Name	S. Rao
		Attorney Docket Number	42390P11557X
Sheet	2	of	3

OTHER ART - NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	6	Borca et al., "Influence of dynamical scattering in crystalline poly (vinylidene flouride-trifluoroethylene) copolymers", Applied Physics Letters, Vol 72, 347-349, 1/18/99
	7	Borca et al., "Lattice-Stiffening Transition in Copolymer Films of Vinylidene Flouride (70%) with Trifluoroethylene (30%)", Physical Review Letters, 4562-4565, 11/29/99
	8	Bune et al., "Piezoelectric and pyroelectric properties of ferroelectric Langmuir-Blodgett polymer films", Journal of Applied Physics, Vol 85, 7869-7873, 6/1/99
	9	Bune et al., "Two-dimensional ferroelectric films", Nature, Vol. 391, 874-877, 2/26/98
	10	Choi et al., "Phase transition in the surface structure in copolymer films of vinylidene flouride (70%) with trifluoroethylene (30%)", Physical Review B, Vol. 61, 5760-5770, 2/15/00
	11	Desu et al., "Minimization of Fatigue in Ferroelectric Films", Phys. Stat. Sol, (a) 151, 467-480, (1995)
	12	Ducharme et al., "Ultrathin Ferroelectric Polymer Films", Ferroelectrics, Vol. 202, 29-37, (1997)

Examiner Signature	Date Considered
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

†Applicant's unique citation designation number. ‡Applicant is to place a check mark here if English language Translation is attached.

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Substitution for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known	
				Application Number	09/960,125
				Filing Date	September 21, 2001
				First Named Inventor	Jian Li
				Art Unit	2818
				Examiner Name	S. Rao
Sheet 3 of 3				Attorney Docket Number	42390P11557X

OTHER ART - NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	13	AJ Lovinger, "Ferroelectric Polymers", Science, Vol 220, 1115-1121, 6/10/93
	14	Morikawa et al., "Photoemission study of direct photomicro machining in poly (vinylidene flouride)", Journal of Applied Physics, Vol. 87, 4010-1016, 4/15/00
	15	US Patent Publication US 2002/0044480 by Gudesen et al US Class: 365/145
	16	US Patent Publication US 2002/0024835 by Thomson et al US Class:365/117
	17	US Patent Publication US 2001/0000005 by Forrest et al US Class 204/192.12

Examiner	Date
Signature	Considered

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